

**PATENT****IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of

David LOCKWOOD

Serial No.: 09/890,815

Filed: August 06, 2001

For: COMPUTER BORROW AND LOAN SECURITIES AUCTION SYSTEM

RECEIVED

JAN 16 2003

GROUP 3600**RESPONSE TO NOTIFICATION
OF MISSING REQUIREMENTS**

Box PCT
Commissioner for Patents
Washington, DC 20231

Sir:

In response to the Notification of Missing Requirements dated May 1, 2002, submitted herewith are the following documents for filing in the above-referenced application:

1. Declaration and Power of Attorney (which is in compliance with 37 CFR 1.497)

Please note that the Declaration was filed on February 6, 2002. Enclosed is a copy of the Transmittal Letter.

Please charge any shortage in fees due in connection with the filing of this paper, including extension of time fees, to Deposit Account 500417 and please credit any excess fees to such deposit account.

RECEIVED

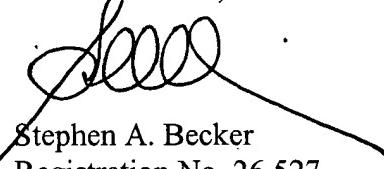
JAN 15 2003

Technology Center 2100

It is requested that the official filing receipt now be issued.

Respectfully submitted,

MCDERMOTT, WILL & EMERY



Stephen A. Becker
Registration No. 26,527

600 13th Street, N.W.
Washington, DC 20005-3096
(202)756-8000 SAB:prp
Facsimile: (202)756-8087
Date: May 13, 2002



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT
 United States Patent and Trademark Office
 Washington, D.C. 20231
www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/890,815	David Lockwood	53887-017

20277
 McDERMOTT WILL & EMERY
 600 13TH STREET, N.W.
 WASHINGTON, DC 20005-3096

R E C E I V E D
 MAY - 9 2002

MW&E

INTERNATIONAL APPLICATION NO.		
PCT/US00/30120		
11/02/2000	PRIORITY DATE	

CONFIRMATION NO. 7720
 371 FORMALITIES LETTER



OC000000007971625

Date Mailed: 05/01/2002

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Indication of Small Entity Status
- Copy of IPE Report
- Copy of the International Application
- Copy of the International Search Report
- Information Disclosure Statements
- Request for Immediate Examination

RECEIVED
 JAN 15 2003
 2100 JUN 03 2002
 Technology Center 2100

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

INDIA L EVANS

Telephone: (703) 305-2936

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
09/890,815	PCT/US00/30120	53887-017

FORM PCT/DO/EO/905 (371 Formalities Notice)

53887-017

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

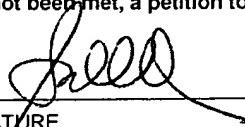
COPY

INTERNATIONAL APPLICATION NO.	INTERNATIONAL FILING DATE	PRIORITY DATE CLAIMED
PCT/US00/30120	November 2, 2000	November 3, 1999
TITLE OF INVENTION		
COMPUTER BORROW AND LOAN SECURITIES AUCTION SYSTEM		
APPLICANTS FOR DO/EO/US		
David LOCKWOOD		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
1.	<input type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.	
2.	<input checked="" type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.	
3.	<input type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).	
4.	<input type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.	
5.	<input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ul style="list-style-type: none"> a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau). b. <input type="checkbox"/> has been transmitted by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US) 	
6.	<input type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).	
7.	<input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ul style="list-style-type: none"> a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau). b. <input type="checkbox"/> have been transmitted by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendment has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 	
8.	<input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).	
9.	<input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).	
10.	<input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).	
Items 11. to 16. below concern other document(s) or information included:		
11.	<input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.	
12.	<input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.	
13.	<input type="checkbox"/> A FIRST preliminary amendment. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.	
14.	<input type="checkbox"/> A substitute specification.	
15.	<input type="checkbox"/> A change of power of attorney and/or address letter.	
16.	<input type="checkbox"/> Other items or information.	



20277

PATENT TRADEMARK OFFICE

U.S. APPLIC. NO. (if known, see 37 CFR 1.50) 09/890,815	INTERNATIONAL APPLICATION NO. PCT/US00/30120	ATTORNEY'S DOCKET NUMBER 53887-017																																													
		CALCULATIONS PTO USE ONLY																																													
<p>17. <input type="checkbox"/> The following fees are submitted:</p> <p>Basic National Fee (37 CFR 1.492(a)(1)-(5)):</p> <table> <tr> <td>Search Report has been prepared by the EPO or JPO</td> <td>\$890.00</td> </tr> <tr> <td>International preliminary examination fee paid to USPTO (37 CFR 1.482)</td> <td>\$710.00</td> </tr> <tr> <td>No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2))</td> <td>\$740.00</td> </tr> <tr> <td>Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO</td> <td>\$1,040.00</td> </tr> <tr> <td>International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4)</td> <td>\$100.00</td> </tr> </table> <p style="text-align: center;">ENTER APPROPRIATE BASIC FEE AMOUNT =</p>		Search Report has been prepared by the EPO or JPO	\$890.00	International preliminary examination fee paid to USPTO (37 CFR 1.482)	\$710.00	No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2))	\$740.00	Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO	\$1,040.00	International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4)	\$100.00	\$ 0.00																																			
Search Report has been prepared by the EPO or JPO	\$890.00																																														
International preliminary examination fee paid to USPTO (37 CFR 1.482)	\$710.00																																														
No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2))	\$740.00																																														
Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO	\$1,040.00																																														
International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4)	\$100.00																																														
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).		\$ 0.00																																													
Claims	Number Filed	Number Extra	Rate																																												
Total Claims	5 -20 =	0	x \$18.00	\$0.00																																											
Independent Claims	2 -3 =		x \$84.00	\$0.00																																											
Multiple dependent claim(s) (if applicable)			+ \$280.00	\$0.00																																											
		TOTAL OF ABOVE CALCULATIONS =		\$0.00																																											
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).				\$0.00																																											
		SUBTOTAL =		\$0.00																																											
Processing fee of \$130.00 for furnishing the English translation later than the <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).			+ \$0.00	\$0.00																																											
		TOTAL NATIONAL FEE =		\$0.00																																											
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property			+ \$0.00	\$0.00																																											
		TOTAL FEES ENCLOSED =		\$0.00																																											
			Amount to be: refunded	\$																																											
			charged	\$ 0.00																																											
a. <input type="checkbox"/>	A check in the amount of \$ _____ to cover the above fees is enclosed.																																														
b. <input type="checkbox"/>	Please charge my Deposit Account No. <u>500417</u> in the amount of \$ <u>0.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed.																																														
c. <input checked="" type="checkbox"/>	The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>500417</u> . A duplicate copy of this sheet is enclosed.																																														
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.																																															
SEND ALL CORRESPONDENCE TO:  Stephen A. Becker McDERMOTT, WILL & EMERY 600 13 th Street, N.W. Washington, DC 20005-3096 (202) 756-8000 Facsimile (202) 756-8087 BASED ON FORM PTO-1390 (Rev. 5-93)																																															
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 10%;">SIGNATURE</td> <td colspan="5"></td> </tr> <tr> <td>Stephen A. Becker</td> <td colspan="5"></td> </tr> <tr> <td>NAME</td> <td colspan="5"></td> </tr> <tr> <td>26,527</td> <td colspan="5"></td> </tr> <tr> <td>REGISTRATION NUMBER</td> <td colspan="5"></td> </tr> <tr> <td>February 6, 2002</td> <td colspan="5"></td> </tr> <tr> <td>DATE</td> <td colspan="5"></td> </tr> </table>						SIGNATURE						Stephen A. Becker						NAME						26,527						REGISTRATION NUMBER						February 6, 2002						DATE					
SIGNATURE																																															
Stephen A. Becker																																															
NAME																																															
26,527																																															
REGISTRATION NUMBER																																															
February 6, 2002																																															
DATE																																															